

12/03/01

JC931 U.S. PTO

12-10-01

A

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE****CERTIFICATE OF EXPRESS MAILING**

Certify that this paper and the documents and/or fees referred to as attached herein are being deposited with the United States Postal Service on December 3, 2001 in an envelope as "Express Mail Post Office to Addressee" service under 37 CFR §1.10, Mailing Label Number **EL896843665US**, addressed to the Commissioner for Patents, U.S. Patent & Trademark Office, Box Patent Application, P.O. Box 2327, Arlington, VA 22202.

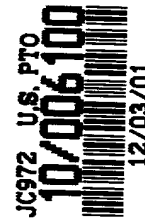
Attorney Docket No. NOVEP015

First Named Inventor: SHEPHERD, Robert A, Jr.



25920

PATENT TRADEMARK OFFICE



Diane Schwaback

**UTILITY PATENT APPLICATION TRANSMITTAL (37 CFR § 1.53(b))**

Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

☐ Duplicate for  
fee processing

Sir: This is a request for filing a patent application under 37 CFR § 1.53(b) in the name of inventors:  
**Robert A. Shepherd, Jr. and James Caughran**

For: **METHOD AND APPARATUS FOR PLASMA OPTIMIZATION IN WAFER PROCESSING**

Application Elements:

- ☒ 23 Pages of Specification, Claims and Abstract  
☒ 05 Sheets of Drawings (Informal)  
☒ 02 Pages Combined Declaration and Power of Attorney

Accompanying Application Parts:

- ☒ Assignment and Assignment Recordation Cover Sheet (recording fee of **\$40.00** enclosed)  
☐ 37 CFR 3.73(b) Statement by Assignee  
☐ Information Disclosure Statement with Form PTO-1449  
☐ Copies of IDS Citations  
☐ Preliminary Amendment  
☒ Return Receipt Postcard  
☒ Request and Certification under 35 U.S.C. § 122(b)(2)(b)(i)  
☐ Other:

Fee Calculation (37 CFR § 1.16)

|   | (Col. 1)  | (Col. 2)        | SMALL ENTITY |     | OR | LARGE ENTITY |                 |
|---|-----------|-----------------|--------------|-----|----|--------------|-----------------|
|   | NO. FILED | NO. EXTRA       | RATE         | FEE |    | RATE         | FEE             |
| BASIC FEE   |           |                 | \$370        | \$  | OR | \$740        | \$740           |
| TOTAL CLAIMS  | <u>23</u> | -20 = <u>03</u> | x09=         | \$  | OR | x18 =        | \$ 54           |
| INDEP CLAIMS  | <u>03</u> | -03 = <u>00</u> | x42 =        | \$  | OR | x84 =        | \$              |
| [ ] Multiple Dependent Claim Presented                                |           |                 | \$140 =      | \$  | OR | \$280 =      | \$              |
| * If the difference in Col. 1 is less than zero, enter "0" in Col. 2. |           |                 | Total        | \$  | OR | Total        | <b>\$794.00</b> |

☒ Check No. 6139 in the amount of **\$834.00** is enclosed.

☒ The Commissioner is authorized to charge any fees beyond the amount enclosed which may be required, or to credit any overpayment, to Deposit Account No. 50-0805 (Order No. NOVEP015).

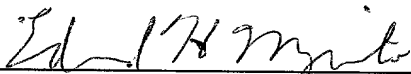
General Authorization for Petition for Extension of Time (37 CFR §1.136)

☒ Applicants hereby make and generally authorize any Petitions for Extensions of Time as may be needed for any subsequent filings. The Commissioner is also authorized to charge any extension fees under 37 CFR §1.17 as may be needed to Deposit Account No. 50-0805 (Order No. NOVEP015).

☒ Please send correspondence to the following address:

**Edmund H. Mizumoto, Esq.**  
**MARTINE & PENILLA, LLP**  
710 Lakeway Drive, Suite 170  
Sunnyvale, CA 94085  
Tel (408) 749-6900  
Fax (408) 749-6901  
**Customer No. 25920**

Date: December 3, 2001

  
\_\_\_\_\_  
Edmund H. Mizumoto, Esq.  
Registration No. 46,938

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the application of )  
Robert A. SHEPHERD, Jr. et al. )  
Application No. [To be assigned] )  
Filed: December 3, 2001 )  
For: METHOD AND APPARATUS FOR )  
PLASMA OPTIMIZATION IN )  
WAFER PROCESSING )

Examiner: Unassigned  
Art Unit: Unassigned  
Docket No. NOVEP015  
Date: December 3, 2001

**CERTIFICATE OF EXPRESS MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service on December 3, 2001 in an envelope as "Express Mail Post Office to Addressee" service under 37 CFR § 1.10, Mailing Label Number **EL896843665US**, addressed to the Commissioner for Patents, U.S. Patent & Trademark Office, P.O. Box 2327, Arlington, VA 22202

Signed: \_\_\_\_\_

*Diane Schwanbeck*  
Diane Schwanbeck

**REQUEST AND CERTIFICATION UNDER 35 U.S.C. § 122(b)(2)(B)(i)**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. § 122(b).

Respectfully submitted,  
MARTINE & PENILLA, LLP

*Edmund H. Mizumoto*  
Edmund H. Mizumoto, Esq.  
Reg. No. 46,938

710 Lakeway Drive, Suite 170  
Sunnyvale, CA 94085  
(408) 749-6900  
Customer Number 25920